Docket No.

248323US2/ams

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Yoshiki MURAKAMI, et al.

SERIAL NO:

10/768,444

GAU:

FILED:

February 2, 2004

EXAMINER:

FOR:

POWER TRADING RISK MANAGEMENT SYSTEM

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS ALEXANDRIA, VIRGINIA 22313

SIR

Applicant(s) wish to disclose the following information.

REFERENCES

The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed
references are attached, where required, as are either statements of relevancy or any readily available English
translations of pertinent portions of any non-English language references.

☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present
application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s)
is attached along with PTO 1449.

☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- □ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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ATTY DOCKET NO. SERIAL NO. U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE Form PTO 1449 (Modified) 10/768,444 LIST OF REFERENCES CITED BY APPLICANT Yoshiki MURAKAMI, et al. **GROUP** FILING DATE February 2, 2004 **U.S. PATENT DOCUMENTS** SUB FILING DATE DOCUMENT **EXAMINER** CLASS DATE NAME **CLASS** IF APPROPRIATE NUMBER INITIAL AA ΑB AC ΑD ΑE AF AG AΗ ΑI ΑJ ΑK AL AM ΑN **FOREIGN PATENT DOCUMENTS TRANSLATION** DOCUMENT DATE COUNTRY NUMBER YES NO AO AP AQ AR AS ΑT ΑU ΑV OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.) Y. UENOHARA, et al., Program of JIC 99 The 5th JAFEE International Conference, pages 18-37 (filing pages 1-20), "BOLTZMANN MODEL IN FINANCIAL TECHNOLOGY", August 28-29, 1999 AW AX ΑY Additional References sheet(s) attached ΑZ **Date Considered** Examiner *Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.